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MAY 2 3 2006

ADMINISTRATION AND
MANAGEMENT

MEMORANDUM FOR UNDER SECRETARIES OF DEFENSE
        ASSISTANT SECRETARIES OF DEFENSE
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        DIRECTOR, OPERATIONAL TEST AND EVALUATION
        INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE
        ASSISTANTS TO THE SECRETARY OF DEFENSE
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        DIRECTOR, PROGRAM ANALYSIS AND EVALUATION
        DIRECTOR, NET ASSESSMENT
        DIRECTOR, FORCE TRANSFORMATION
        DIRECTORS OF THE DEFENSE AGENCIES
        DIRECTORS OF THE DOD FIELD ACTIVITIES

SUBJECT: Directive-Type Memorandum – DoD Directives System

    DoD Directive 5025.1, "DoD Directives System," and DoD 5025.1-M, "DoD Directives System Procedures," are in the process of being revised and consolidated. Updated procedural changes, which include guidance from the Deputy Secretary of Defense, will be incorporated into a DoD Instruction (DoDI 5025.01). In the interim, pending the development, staffing, and publication of this Instruction, the changes at Attachment 1 are effective immediately and will be incorporated into DoDI 5025.01 within 180 days.

    My point of contact for this action is the Chief, Directives and Records Branch, Mr. Edward Burbol, 703-696-2503.

Michael B. Donley
Director

Attachment:
As stated

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ATTACHMENT 1

DIRECTIVE-TYPE MEMORANDUM – CHANGES TO THE DOD DIRECTIVES SYSTEM

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1. STANDARDS

1.1. <u>Directive Criteria</u>. Directives are the capstone issuances of the Department. As described in the Acting Deputy Secretary of Defense memorandum, "DoD Directives Review – Phase II," July 13, 2005, only those issuances addressing one or more of the following items may be issued or reissued as a Directive:

1.1.1. <u>Non-delegable Responsibilities</u> assigned to the Secretary or Deputy Secretary of Defense.

1.1.2. <u>Organizational Charters</u> for the Direct Report Principal Staff Assistants (PSA) and the Heads of Defense Agencies, DoD Field Activities, and, as necessary, other DoD Components.

1.1.3. <u>Assignment of Functions and Resources</u> between or among PSAs and/or DoD Components. More specifically, this is when the fundamental responsibilities, functions, or authorities of a PSA or the DoD Component are being defined or redefined. These major assignments should not be confused with the collateral functions routinely mentioned in an issuance where one PSA assigns (and coordinates) a responsibility to another PSA or Component Head to perform a task within their assigned functional area.

1.1.4. <u>Executive Agent (EA) Assignments</u>. These consist of the designation of an EA and the assignment of related responsibilities and authorities.

1.1.5. <u>Special Interest Items</u>. These are matters of special interest to the Secretary or Deputy Secretary of Defense, such as advisory boards or urgent Global War on Terrorism matters. They may be items selected by the Secretary or Deputy Secretary or recommended by a PSA.

1.2. <u>Directive Currency</u>. A Directive is current when the stated policies, responsibilities, authorities, references, organizational entities, and information contained therein are accurate and in effect and it has been:

1.2.1. Updated/revised by the Direct Report PSA who is the proponent for it within 2 years of its initial publication or last revision. (See paragraph 3.4. on how to certify a Directive as current.)

1.2.2. Certified current by the Direct Report PSA within 2 years of its publication or formal revision. "Certified Current" is a one time administrative option based on an internal review, and signed by the Direct Report PSA. The Issuance must then be updated/revised within 4 years of its initial publication or last revision.

1.3. <u>Coordination Cycle</u>

1.3.1. <u>Directives</u>. The coordination period for Directives is 20 workdays.

1.3.2. <u>Instructions and Publications</u>. The coordination period for Instructions and Publications is 45 workdays.

1.3.3. For unclassified issuances, the coordination cycle starts once the SD Form 106, "DoD Directives System Coordination Record," and issuance are posted to the DoD Directives Program Portal. For classified issuances, the coordination period begins when the SD Form 106 is signed.

1.3.4. After 20 workdays have elapsed, the originating office will annotate "No response" for any component that has not furnished formal coordination and continue with the approval process.

1.4. <u>Completion Cycle</u>

1.4.1. <u>Directives</u>. The period of time to complete a Directive is 45 workdays.

1.4.2. <u>Instructions and Publications</u>. The period of time to complete Instructions and Publications is 180 workdays.

1.4.3. The completion cycle starts when the issuance enters coordination and ends when it is provided to the Deputy Secretary for approval or signed by the appropriate PSA.

1.5. <u>DoD Policy in Instructions</u>. Direct Report PSAs may establish DoD policy within their assigned functional areas in DoD Instructions.

2. <u>DIRECTIVES SYSTEM</u>

2.1. <u>Office of the Secretary of Defense (OSD) Component Focal Points</u>

2.1.1. Timely coordination is the critical element to processing DoD issuances efficiently. To overcome the impact of delays and impasses in the coordination process, each Direct Report PSA shall appoint a Directives Focal Point in writing and provide a copy of the appointment memo to the Director of Administration and Management (DA&M).

2.1.2. Focal Points shall:

2.1.2.1. Be senior in grade (GS-15 equivalent or higher), have direct access to the PSA, and be empowered to act on their behalf to resolve impasses in coordination.

2.1.2.2. Track and manage the DoD issuances (Directives, Instructions, and Publications) that the Component is the proponent for. This includes the coordination requests of issuances of other Components.

2.1.2.3. Oversee and manage the Components use of the DoD Directives Program Portal. (See paragraph 2.2. for a description of the Portal.)

2.1.2.4. Ensure the processing standards for issuances are met and assist action officers within their Component and other Focal Points obtain timely coordination.

2.1.2.5. Regularly report the status of issuances to their respective PSA and the Directives and Records Branch (D&RB), Executive Services Directorate, Washington Headquarters Services.

2.2. Directives Portal

2.2.1. The DoD Directives System Portal provides the OSD Component Focal Points, and the personnel supporting them, a single point of entry for coordination requests of unclassified DoD issuances. It also tracks the status of coordinations and posts/displays the comments of each Component. It is not a replacement for the internal tracking systems, document management, or coordination tools in the Components.

2.2.2. D&RB is the system administrator for the Portal and the OSD Chief Information Officer is responsible for its operation and maintenance.

2.2.3. The DoD Directives Portal:

2.2.3.1. Provides near instantaneous distribution of the SD Form106, and proposed issuances for coordination tó the Components, the Joint Staff, and the Services.

2.2.3.2. Prevents coordination requests from being misrouted or lost when distributed.

2.2.3.3. Provides OSD Components with visibility into what issuances are out for coordination and the comments/positions of the other Components on any given issuance.

2.2.3.4. Provides the information to actively manage issuances – from an OSD and Component level.

2.2.4. The procedures describing how to request access to and use the Portal are available at the DoD Directives Program website at http://www.dtic.mil/whs/directives.

3. DIRECTIVES PROCESS CHANGES

3.1. Converting a DoD Directive into a DoD Instruction. Many Directives originally published prior to 2005 are no longer eligible to be issued as a Directive because they do not meet the Directive criteria established by the Deputy Secretary of Defense. (See paragraph 1.1, DoD Directives Review – Phase II.) As these Directives are revised, they shall either be consolidated with other issuances or converted into Instructions using the procedures provided at the DoD Directives Program website at http://www.dtic.mil/whs/directives. The DoD issuance number will not change when a Directive is converted into an Instruction (e.g., instead of DoD Directive 8998.01, it will be DoD Instruction 8998.01). No additional coordination or separate action is required to cancel the existing Directive when it is replaced by an Instruction.

3.2. Pre-edit

3.2.1. Before an SD Form 106 is signed and the issuance is entered into coordination, the SD Form 106 and the revised or new issuance shall be reviewed and edited by the D&RB.

3.2.1.1. <u>Subjective Review</u>. The review will be conducted to determine if the issuance is written in sufficient detail and quality to enter coordination. The review will look at:

3.2.1.1.1. Compliance with established policy and guidance.

3.2.1.1.2. The intended purpose of the issuance and if it conveys policy, guidance, and/or procedures in a logical manner.

3.2.1.1.3. The readability level of the issuance. Issuances shall be written for comprehension by an individual with a 10th grade education and little to no knowledge in the topic addressed.

3.2.1.2. <u>Editorial Review</u>. The issuance will be edited for adherence to format, grammatical construction, punctuation, capitalization, spelling, compounding of words, use of abbreviations, numbers, and symbols, the accurate use of command or organization titles, and proper classification markings.

3.2.2. Components may request a pre-edit by emailing the SD Form 106 and the proposed issuance to <u>DoDDirectives@whs.mil</u> (unclassified issuances) or <u>DoDDirectives@whs.pentagon.smil.mil</u> (classified issuances). The SD Form 106 shall be provided in PDF format and issuances in Microsoft Word or rich text format. Pre-edits will normally be returned within 7 workdays.

3.3. <u>Coordination</u>

3.3.1. <u>Determining who should Coordinate</u>. There are two types of coordinators for DoD issuances: mandatory and selective. The type of coordination requested from addressees should be clearly marked on the SD Form 106 based on the following descriptions.

3.3.1.1. <u>Mandatory</u>. Coordination is required from the following Components for all DoD issuances: The Department of Defense General Counsel, the Inspector General, Department of Defense, and the Director of Administration and Management.

3.3.1.2. <u>Selective</u> If coordination is not provided, the component shall move the issuance forward stating "No Response" next to the Component on the List of Coordinating Officials.

3.3.1.2.1. <u>Primary</u>. Component has equity in an issuance and coordination is expected. Component requesting coordination shall make a good faith effort to obtain coordination. If coordination is not provided in a timely manner, the Component shall move the issuance forward stating "No Response" next to Component on the List of Coordinating Officials that accompanies the action memo when requesting signature of the issuance. Issuances should not languish waiting for coordination or comments.

3.3.1.2.2. <u>Collateral</u>. Component has no apparent equity in issuance. Component is provided an informational copy of the issuance and may provide comments if desired.

3.3.2. <u>Requesting Coordination</u>

3.3.2.1. All coordination requests of unclassified issuances shall be posted to the DoD Directives System Portal. The capability to post a coordination request to the Portal is restricted to the OSD Component Focal Points and a limited number of users approved by the Focal Point. (See the Portal procedures at http://www.dtic.mil/whs/directives on how to post a coordination request.) Classified issuances will continue to be processed according to DoD 5025.1-M.

3.3.2.2. Coordination requests posted to the DoD Directives Portal are distributed by email to the OSD Components, the Joint Staff, and the Service Secretaries as selected and noted in the SD Form 106. These email alerts are sent to the email address of the respective Component Focal Point or an organizational address that he/she provides.

3.3.3. <u>Coordination Period</u>. The coordination period is automatically calculated and assigned by the Portal when a coordination request is sent out. DO NOT insert a date into block 5, "Coordination Suspense Date," of the SD Form 106 for any unclassified issuance being posted to the Portal. The official coordination date is the date as displayed in the Portal and the email notification that is distributed through the Portal to all coordinating parties. The same coordination standards apply to classified issuances. The only difference is that a suspense date shall be entered into block 5 of the SD Form 106 for them. If expedited coordination is required, justification shall be provided in block 7, "Purpose and Remarks," of the SD Form 106 and the Portal administrator shall be contacted to adjust the suspense date for the issuances posted to the Portal.

3.3.4. <u>Directive Coordination Level</u>. OSD Component coordination on Directives must be provided by the PSA or their principal deputy. Direct Report PSAs may delegate the authority to provide Component coordination on Directives to an Assistant Secretary of Defense, a Deputy Under Secretary of Defense, or Deputy General Counsel as applicable. This delegation shall be provided in writing to the Director of Administration and Management (DA&M) and updated annually OSD Component coordination on other Issuances must be provided a Deputy Assistant Secretary of Defense or higher level official.

3.3.5. <u>Types of Coordination</u>. The following are the only three acceptable types of coordination:

3.3.5.1. <u>Concur, without comment</u>

3.3.5.2. <u>Concur, with comment</u>. Comments may be administrative and substantive. This would consist of changes that should be made to improve the clarity and correctness of an issuance.

3.3.5.3. <u>Non-concur, with comment</u>. Comments may be a combination of administrative, substantive, and critical. They should be labeled and grouped accordingly so critical comments are easily distinguished.

3.3.6. <u>Comment Resolution (Coordination) Matrix</u>. A DoD Directives Program coordination matrix shall be used by OSD Components to provide and record substantive and critical comments and to show how those comments are addressed. The Directives coordination matrix template is available at http://www.dtic.mil/whs/directives.

3.3.7. <u>Coordination Suspense Extension</u>. See Chapter 6 of the Portal procedures (http://www.dtic.mil/whs/directives) on how to request a suspense extension.

3.4. <u>Providing Coordination</u>

3.4.1. All OSD Component coordinations to unclassified issuances shall be posted to the DoD Directives Program Portal by the Component providing coordination. The capability to post coordination or comments to the Portal is restricted to the OSD Component Focal Points and a limited number of users approved by the Focal Points, see the Portal procedures at http://www.dtic.mil/whs/directives) on how to post coordination or comments. Classified issuances will continue to be processed according to DoD 5025.1-M.

3.4.2. The Joint Staff and the Military Departments do not have direct access to the Portal, so their coordinations will be returned to the originator in paper or scanned and sent by e-mail.

3.5. <u>Certifying a Directive as Current</u> (only Directives may be certified current at this time)

3.5.1. DA&M shall notify the OSD Components of the Directives nearing their 2-year currency review on a quarterly basis to give the Components 6 months to, cancel or revise them, or certify them as current if within 2 years of publication.

3.5.2. Direct Report PSAs shall ensure the actions listed below are taken for each Directive and certify their accomplishment in a memo to DA&M. The memo will also identify any minor administrative changes required to revise a Directive, such as correcting title/date of a reference, updating organizational names/abbreviations, fixing typos and formatting errors, etc).

3.5.2.1. Review Directive to determine if it still meets the criteria to remain a Directive.

3.5.2.2. Review each policy statement to verify it is in line with the policies of the current administration (President, Secretary and Deputy Secretary of Defense, and PSA).

3.5.2.3. Review each assignment of authority/responsibility to determine if they are still required and appropriately assigned.

3.5.2.4. Verify that references are still valid, correctly titled, and cite the latest version.

3.5.2.5. Verify that the organizational entities cited throughout the issuance are accurate.

3.5.3. DA&M shall then:

3.5.3.1. Verify and incorporate minor corrections found during the certification process as appropriate.

3.5.3.2. Mark each issuance as certified current, along with the date of the certification, underneath the original date. The issuance will retain its original date (initial publication or the last coordinated revision) and signature.

4. COORDINATION COMMENT TYPE (as used in relation to DoD issuances)

4.1. Critical. Critical comments are serious disagreements in opinion, policy, responsibility, authority, or content. Critical comments should be resolved between the concerned parties before an issuance is approved/published. If the Component who is the proponent for the issuance is unable to resolve any critical comment, they shall address it in the action memo requesting the issuance be signed. Both sides of the critical comments shall be clearly and succinctly addressed in the action memo along with a recommendation for the approving authority. When a Component has one or more critical comments, their coordination should reflect a non-concur.

4.2. Substantive. Substantive comments are made when a section in an issuance appears to be or is potentially unnecessary, incorrect, misleading, confusing, or inconsistent with other sections. A substantive comment is usually not sufficient justification for a Component to non-concur on an issuance. Several substantive comments, when taken together, are grounds for a non-concurrence.